

# Retention and Classification Report

**Agency:** Department of Transportation. Administrative Services. Office of Risk Management (2430)  
4501 South 2700 West  
Salt Lake City, UT 84119-5998  
965-4715

**Records Officer** Brandi Trujillo

06763	Employer's report of injury or occupational disease
25731	Insurance subrogation records
10308	Litigation-related daily correspondence
09135	Loss control reports
09137	Monthly first aid treatment reports
09141	State employee traffic accident reports

**AGENCY:** Department of Transportation. Administrative Services. Office of Risk Management

**SERIES:** 6763

4

**TITLE:** Employer's report of injury or occupational disease

**DATES:** i 1985-

**ARRANGEMENT:** None

**DESCRIPTION:**

This is the agency copy of the report documenting an injury to an employee while on the job and the nature of the accident. The original is filed with the Office of Worker's Compensation and a copy is sent to the Industrial Commission of Utah to claim worker's compensation. This report includes the date, time, and nature of the accident or diagnosis of occupational disease; extent of injury or fatality; information identifying employer and place of employment; names and addresses of witnesses and attending physician; and the following data elements concerning the injured employee: age, current and past addresses, date of birth, employer, job position information (grade/step, etc.), marital status, medical information, name of kin, number of children, occupation, salary, sex, social security number, telephone number, and any past injuries incurred on the job.

**RETENTION:**

Retain 5 years.

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 10/1986

**FORMAT MANAGEMENT:**

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 2 years and then transfer to State Records Center. Retain in State Records Center for 3 years and then destroy.

**AGENCY:** Department of Transportation. Administrative Services. Office of Risk Management

**SERIES:** 6763

**TITLE:** Employer's report of injury or occupational disease

(continued)

**APPRAISAL:**

Administrative

General Schedule 1, Item 31 lists a retention of 5 years.

**PRIMARY CLASSIFICATION:**

Private

**AGENCY:** Department of Transportation. Administrative Services. Office of Risk Management

**SERIES:** 25731

3

**TITLE:** Insurance subrogation records

**DATES:** 1976-

**ARRANGEMENT:** Chronological by year thereunder numerical by claim number.

**ANNUAL ACCUMULATION:** 0.50 cubic feet.

**DESCRIPTION:**

These files contain information relating to insurance claims filed when damage is sustained to the department's motor vehicles or highway infrastructure. Records document the process used in seeking recovery for damages. Files may contain insurance claim forms, accident reports, description of damages, injury reports, correspondence, and attorney work product.

**RETENTION:**

Retain 7 years.

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series were specifically approved by the State Records Committee.

**APPROVED:** 04/2005

**FORMAT MANAGEMENT:**

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 2 years and then transfer to State Records Center. Retain in State Records Center for 5 years and then destroy.

**APPRAISAL:**

Administrative Legal

This disposition is based upon the legal needs of the department to justify claims for recovery when property damages are incurred.

**AGENCY:** Department of Transportation. Administrative Services. Office of Risk Management

**SERIES:** 25731

**TITLE:** Insurance subrogation records

(continued)

**PRIMARY CLASSIFICATION:**

Public

**SECONDARY CLASSIFICATION(S):**

Protected. U.C.A. 63G-2-305 (2008)

**AGENCY:** Department of Transportation. Administrative Services. Office of Risk Management

**SERIES:** 10308

3

**TITLE:** Litigation-related daily correspondence

**DATES:** 1980-

**ARRANGEMENT:** None

**ANNUAL ACCUMULATION:** 0.20 cubic feet.

**DESCRIPTION:**

Business-related messages that document work accomplished, transactions made, or actions taken. These records do not offer unique information about agency functions, programs, or policies, though they may cite them. These records may originate on paper, electronic mail, or other media.

**RETENTION:**

Retain 5 years.

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**AUTHORIZED:** 03/20/1992

**FORMAT MANAGEMENT:**

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office until administrative needs end and then transfer to State Records Center. Retain in State Records Center for 5 years and then destroy.

**APPRAISAL:**

Administrative

The retention is based on the administrative needs expressed by the agency. Litigation is usually completed after five years.

**AGENCY:** Department of Transportation. Administrative Services. Office of Risk Management

**SERIES:** 10308

**TITLE:** Litigation-related daily correspondence

(continued)

**PRIMARY CLASSIFICATION:**

Protected UCA 63G-2-305 (14) (15) (16) (22)

**AGENCY:** Department of Transportation. Administrative Services. Office of Risk Management

**SERIES:** 9135

4

**TITLE:** Loss control reports

**DATES:** ca. 1980-

**ARRANGEMENT:** Chronological

**ANNUAL ACCUMULATION:** 2.00 cubic feet.

**DESCRIPTION:**

These records are prepared at the request of the Attorney General litigation division or Risk Management to help provide the state's defense for Tort Liability claims or summons and complaints. Information includes date and location of accident, names, addresses, phone numbers, witnesses, a fatal accident narrative, accident diagram, investigating officer's report, photographs, attorney client work product, defense strategy, design plans, traffic/accident history, and any information requested by the attorney assigned to the case, or as may be provided by statutory discovery rules. The record copy is maintained by the division of Risk Management.

**RETENTION:**

Retain 5 years.

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 03/1993

**FORMAT MANAGEMENT:**

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper copy: Retain in Office for 5 years and then destroy.

**AGENCY:** Department of Transportation. Administrative Services. Office of Risk Management

**SERIES:** 9135

**TITLE:** Loss control reports

(continued)

**APPRAISAL:**

Legal

This disposition is based on the perceived legal need expressed by the agency.

**PRIMARY CLASSIFICATION:**

Protected

**AGENCY:** Department of Transportation. Administrative Services. Office of Risk Management

**SERIES:** 9137

4

**TITLE:** Monthly first aid treatment reports

**DATES:** ca. 1980-

**ARRANGEMENT:** Chronological

**ANNUAL ACCUMULATION:** 1.00 cubic foot.

**DESCRIPTION:**

Records created monthly by individual supervisors for each case offirst-aid administered, to establish eligibility involving claims filed with the Workers Compensation Fund of Utah and to develop remedial programs to correct employee work practices and improvement of equipment or work environment. Reports are medical records for minor injuries not requiring treatment at a medical facility. Information includes date of injury, name of injured employee, occupation, type of injury, description of accident, treatment, and disposition.

**RETENTION:**

Retain 3 years.

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 03/1993

**FORMAT MANAGEMENT:**

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 3 years and then destroy.

**APPRAISAL:**

Administrative Fiscal

This disposition is based on the administrative needs expressed by the agency. The records are also subject to audit.

**AGENCY:** Department of Transportation. Administrative Services. Office of Risk Management

**SERIES:** 9137

**TITLE:** Monthly first aid treatment reports

(continued)

**PRIMARY CLASSIFICATION:**

Private

**AGENCY:** Department of Transportation. Administrative Services. Office of Risk Management

**SERIES:** 9141

4

**TITLE:** State employee traffic accident reports

**DATES:** ca. 1980-

**ARRANGEMENT:** Chronological

**ANNUAL ACCUMULATION:** 1.00 cubic foot.

**DESCRIPTION:**

These records are created by Loss Control when an employee is involved in a traffic accident. They identify the cause of the accident and establish the state liability in order for Risk Management to adjudicate the claim and for the Attorney General to defend the Department of Transportation in litigation. Information includes employee name, address, social security number, vehicle description, description of how or why an accident occurred, name of third parties, witnesses, insurance companies, extent of damage, accident diagrams, repair estimates, photographs, and the investigation officer's report.

**RETENTION:**

Retain 5 years.

**DISPOSITION:**

Destroy provided all litigation resolved

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 03/1993

**FORMAT MANAGEMENT:**

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 5 years and then destroy provided all litigation resolved.

**AGENCY:** Department of Transportation. Administrative Services. Office of Risk Management

**SERIES:** 9141

**TITLE:** State employee traffic accident reports

(continued)

**APPRAISAL:**

Administrative Legal

This disposition is based on the administrative needs expressed by the agency. Litigation is usually completed within five years.

**PRIMARY CLASSIFICATION:**

Protected